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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/597,008	07/06/2006	Robert Dean Dally	X-16846M	4664

25885 7590 04/17/2009  
ELI LILLY & COMPANY  
PATENT DIVISION  
P.O. BOX 6288  
INDIANAPOLIS, IN 46206-6288

EXAMINER
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CHANG, CELIA C

ART UNIT	PAPER NUMBER
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1625

NOTIFICATION DATE	DELIVERY MODE
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04/17/2009

ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

patents@lilly.com

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	10/597,008	DALLY ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Celia Chang	1625	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 17 September 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1,2,6,9,11,14,16,19,20,23,36,37,41,43,45,48,50,52,53,58 and 60 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) \_\_\_\_\_ is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☒ Claim(s) See Continuation Sheet are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                       | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____                                      |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>7/6/06</u> .  | 6) <input type="checkbox"/> Other: _____                          |

Continuation of Disposition of Claims: Claims subject to restriction and/or election requirement are 1,2,6,9,11,14,16,19,20,23,36,37,41,43,45,48,50,52,53,58 and 60.

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### DETAILED ACTION

1. This application is a 371 of PCT/US2005/000021.

A preliminary amendment was filed on Sept. 17, 2007.

Claims 3-5, 7-8, 10, 12-13, 15, 17-18, 21-22, 24-35, 38-40, 42, 44, 46-47, 49, 51, 54-57, 59, 61-63 have been canceled.

Claims 1-2, 6, 9, 11, 14, 16, 19-20, 23, 36-37, 41, 43, 45, 48, 50 52-53, 58 and 60 are pending.

2. *Election/Restrictions*

Restriction is required under 35 U.S.C. 121 and 372.

This application contains the following inventions or groups of inventions which are not so linked as to form a single general inventive concept under PCT Rule 13.1.

In accordance with 37 CFR 1.499, applicant is required, in reply to this action, to elect a single invention to which the claims must be restricted.

Group I, Claims 48, 50 and 45 in part when  $m=1$ , R and  $X^1$  forms tetracyclic ring compounds. If this group is elected a further election of a single disclosed species is also required. Generic claims 1-2, 6, 9, 11, 14, 16, 19-20, 23, 36, 52-53, 58 and 60 reading on  $m=1$ , R- $X^1$  is tetracyclic ring can be prosecuted together with the election.

Group II, Claim 45 remaining when  $m=2$ , R and  $X^1$  forms tetracyclic ring compounds. If this group is elected a further election of a single disclosed species is also required. Generic claims 1-2, 6, 9, 11, 14, 16, 19-20, 23, 36, 52-53, 58 and 60 reading on  $m=2$ , R- $X^1$  is tetracyclic ring can be prosecuted together with the election.

Group III, Claims 41, 43 and 37 in part when  $m=1$ , R and  $X^1$  are independent moities compounds. If this group is elected a further election of a single disclosed species is also required. Generic claims 1-2, 6, 9, 11, 14, 16, 19-20, 23, 36, 52-53, 58 and 60 reading on  $m=1$ , R and  $X^1$  are independent moities can be prosecuted together with the election.

Group IV, Claim 37 remaining when  $m=2$ , R and  $X^1$  are independent moities compounds. If this group is elected a further election of a single disclosed species is also required. Generic claims 1-2, 6, 9, 11, 14, 16,

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19-20, 23, 36, 52-53, 58 and 60 reading on  $m=2$ , R and  $X^1$  are independent moieties can be prosecuted together with the election.

Group V, Claims 1-2, 6, 9, 11, 14, 16, 19-20, 23, 36, 52-53, 58 and 60 when  $m=0$ , R and  $X^1$  forms tetracyclic ring compounds. If this group is elected a further election of a single disclosed species is also required.

Group VI, Claims 1-2, 6, 9, 11, 14, 16, 19-20, 23, 36, 52-53, 58 and 60 when  $m=0$ , R and  $X^1$  are independent moieties. If this group is elected a further election of a single disclosed species is also required.

The inventions are independent or distinct, each from the other because:

The inventions listed as Groups I-VI do not relate to a single general inventive concept under 35 USC 121 or PCT Rule 13.1 because:

**PCT Rule 13.1** states that the international application shall relate to one invention only or to a group of inventions so linked as to form a single general inventive concept ("requirement of unity of invention").

**PCT Rule 13.2** states that the unity of invention referred to in Rule 13.1 shall be fulfilled only when there is a technical relationship among those inventions involving one or more of the same or corresponding special technical features.

Annex B, **Part 1(a)**, indicates that the application should relate to only one invention, of if there is more than one invention, inclusion is permitted if they are so slinked to form a single general inventive concept.

Annex B **Part 1(b)**, indicates that "special technical features" means those technical features that as a whole define a contribution over the prior art.

Annex B **Part 1(c)**, further defines independent and dependent claims. Unity of invention only is concerned in relation to independent claims. Dependent claims are defined as a claim that contains all the features of another claim and is in the same category as the other claim. The category of a claim refers to the classification of claims according to subject matter e.g. product, process, use, apparatus, means, etc.

Annex B **Part 1(e)**, indicates that the permissible combinations of different categories of claims. **Part 1(e)I**, states that inclusion of an independent claim for a given product, an independent claim for a process specially adapted for the manufacture of the said product, and an independent claim for a use of the said product is permissible.

Annex B, **Part 1(f)**, indicates the "Markush practice" of alternatives in a single claim. **Part 1(f)I**, indicates the technical relationship and the same or corresponding special technical feature is considered to be met when (A) all alternatives have a common property or activity, and (B) a common structure is present or all alternatives belong to a recognized class of chemical compounds. Further defining (B), Annex B, **Part 1(f)(i-iii)**, the common structure must; a) occupy a large portion of their structure, or b) the common structure constitutes a structurally distinctive portion, or c) where the structures are equivalent and therefore a recognized class of chemical compounds, each member could be substituted for one another with the same intended result. That is, with a common or equivalent structure, there is an expectation relationship and

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the corresponding special technical feature result from a common (or equivalent) structure that is responsible for the common activity (or property). **Part 1(f) iv**, indicates that when all alternatives of a Markush grouping can be differently classified, it shall no, take alone, be considered justification for finding a lack of unity. **Part 1(f)v**, indicates that “When dealing with alternatives, if it can be shown that at least *one* Markush alternative is not novel over the prior art, the question of unity of invention shall be reconsidered by the examiner”

In the instant case, compounds of groups I-VI differ in elements, bonding arrangement and chemical structure to such an extend that a reference anticipating one group would not render another group obvious. In addition, at least one Markush alternative is not novel because prior art recited on the PCT search report such as Grese et al. p.148 compound 10k anticipated group III, thus the lacking of unity of invention has been found.

Restriction for examination purposes as indicated is proper because all these inventions listed in this action are independent or distinct for the reasons given above and there would be a serious search and examination burden if restriction were not required because one or more of the following reasons apply:

- (a) the inventions have acquired a separate status in the art in view of their different classification;
- (b) the inventions have acquired a separate status in the art due to their recognized divergent subject matter;
- (c) the inventions require a different field of search (for example, searching different classes/subclasses or electronic resources, or employing different search queries);
- (d) the prior art applicable to one invention would not likely be applicable to another invention;
- (e) the inventions are likely to raise different non-prior art issues under 35 U.S.C. 101 and/or 35 U.S.C. 112, first paragraph.

**Applicant is advised that the reply to this requirement to be complete must include (i) an election of a invention to be examined** even though the requirement may be traversed (37 CFR 1.143) **and (ii) identification of the claims encompassing the elected invention.**

The election of an invention may be made with or without traverse. To reserve a right to petition, the election must be made with traverse. If the reply does not distinctly and specifically point out supposed errors in the restriction requirement, the election shall be treated as an election without traverse. Traversal must be presented at the time of election in order to be considered timely. Failure to timely traverse the requirement will result in the loss of right to petition under 37 CFR 1.144. If claims are added after the election, applicant must indicate which of these claims are readable on the elected invention.

If claims are added after the election, applicant must indicate which of these claims are readable upon the elected invention.

Should applicant traverse on the ground that the inventions are not patentably distinct, applicant should submit evidence or identify such evidence now of record showing the inventions to be obvious variants or clearly admit on the record that this is the case. In either instance, if the examiner finds one of the inventions unpatentable over the prior art, the evidence or admission may be used in a rejection under 35 U.S.C. 103(a) of the other invention.

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Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 CFR 1.48(b) if one or more of the currently named inventors is no longer an inventor of at least one claim remaining in the application. Any amendment of inventorship must be accompanied by a request under 37 CFR 1.48(b) and by the fee required under 37 CFR 1.17(i).

3. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Celia Chang, Ph. D. whose telephone number is 571-272-0679. The examiner can normally be reached on Monday through Thursday from 8:30 am to 5:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Janet L. Andres, Ph. D., can be reached on 571-272-0867. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

*OACS/Chang*  
*Apr. 8, 2009*

*/Celia Chang/*  
*Primary Examiner*  
*Art Unit 1625*